

Incident Reporting

July 22, 2020

Updates and Review

A little history

- In 2018 DHS consolidated all incident reporting to Office of Licensing and all monitoring functions to the Office of Licensing and Office of Quality and Design.
 - OL= minimum health and safety standards of **licensees**
 - OQD=higher quality expectations through **contracts**
 - Whenever we share a provider, we coordinate investigative efforts to minimize the Department “touch” on these providers
- Rules and processes were collaboratively agreed upon by all DHS Divisions
- DSPD incidents posed unique challenges due to person vs site-centered focus, existing interface and DOH/Medicaid requirements causing us to learn and evolve.

OL Philosophy

- Technical assistance toward compliance/non-punitive
- Team approach
- Client health and safety is priority
- Site based (provider, staff, policies, facility, governance etc)
- Incident reports and Investigations are different and have distinct time frames. Investigations usually include site visits, however not all reported incidents result in a full investigation by OL
- Only enforce rule and statutes (find on our website: www.hslic.utah.gov)
 - R501-1 [General Provisions](#) defines & governs critical incidents

Support Coordinator Responsibilities in Incident Management

- Assist providers in meeting incident reporting requirements
- Meet priority time frames on reports and investigations
- Answer DOH questions in a timely manner
- Coordinate with OL for licensed providers (OQD for non-licensed)
 - OL will enforce any provider requirements that you identify (as long as there's a rule to support it)
- How to find out if a facility is licensed:
 - Ask provider
 - OL website search www.hslic.utah.gov (Find a licensed program)
 - DSPD certified homes are certified (not licensed) by OL, but monitored by OQD

COMING SOON (to better support your work)

- Simplify the reporting process with a “Full-Kit” in UPI (by spring 2021) to automate:
 - classification of levels
 - notifications to related parties
 - identification of licensure
 - deadlines
- DOH will directly be issuing questions (no more OL go-between)
- Update training slides on DSPD website
- Handbook to assist you in providing complete info in your reports
- [Critical Incident Reporting Guide](#) with incident examples and reporting guidance
- These will be directly shared via email and on websites as soon as available (Aug 2020)

Resources and Contacts

- **UPI System**
 - <https://upi-prod.dhs.utah.gov/UPIWeb/>
- **Incident Report Team**
 - licensingconcerns@utah.gov; OQDproviderquality@utah.gov
 - Travis Broderick (OL): 385-246-6206 Laura Roe (OL): 801-779-6714; Serena Hubert (OL): 385-327-3430; Jessica Hooper (OQD) 801-803-3675
- **USTEPS Team**
 - usteps@utah.gov
 - 801-698-7431
- **DSPD Web Page Reference Materials (Provider tab)**
 - dspd.utah.gov
 - Access Forms
 - User Guides

OL Web Page:
hslic.utah.gov